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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/787,137	03/14/2001	Michel Ruffin	Q63172	6322

7590 08/24/2004  
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EXAMINER
PHAN, TRI H

ART UNIT	PAPER NUMBER
2661	4

DATE MAILED: 08/24/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/787,137

Applicant(s)

RUFFIN ET AL.

Examiner

Tri H. Phan

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-3 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
- 1) ☒ Certified copies of the priority documents have been received.
  - 2) ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 3.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

## DETAILED ACTION

### *Priority*

1. Receipt is acknowledged of papers submitted under 35 U.S.C. 371, which papers have been placed of record in the file.

### *Claim Rejections - 35 USC § 102*

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 1-2 are rejected under 35 U.S.C. 102(b) as being anticipated by **Gilbert et al.** (U.S. 5,530,848), hereafter referred to as **Gilbert**.

- In regard to claim 1, **Gilbert** discloses in Figs. 1-4 and in the respective portions of the specification about the system and method for implementing the interface (“*XA/RO interface*”; For example see Fig. 1; col. 3, lines 24-26) between the external process and transaction processing system (“*transactional system*”); wherein the input receive subsystem accepts input messages from external processes such as external computer systems, CICS regions, batch jobs, etc. (“*connecting the set of transaction initiators and consumers*”; For example see Figs. 1 and 3; col. 3, lines 40-48; col. 8, lines 39-41; col. 9, lines 33-44), the trigger subsystem interrogates the log file (For example see Figs. 1 and

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2; col. 3, lines 46-60; col. 8, lines 26-32; col. 9, lines 45-54) when the input message is available for delivery to the transaction processing system for process (“*enable the transactional system*”; For example see Figs. 1 and 2; col. 4, lines 5-21); where the control records stored in the log file database are created, updated or deleted (“*perform transactional operations on data stored in logging service*”) based on the status or flag as specified in step 206 in Fig. 2; col.8, lines 47-50; for the logging service, e.g. “*logging service*” as defined in col. 2, lines 8-14; via other subsystems such as status subsystem, acknowledgement subsystem, monitor subsystem, communications monitor subsystem, and communications subsystem (For example see Fig. 1; col. 4, line 22 through col. 5, line 12; col. 8, line 47 through col. 9, line 3) under the control of the transaction processing system (For example see Fig. 1; col. 9, lines 22-26).

- Regarding claim 2, **Gilbert** further discloses wherein the input receive subsystem accepts input messages from external processes such as external computer systems, CICS regions, batch jobs, etc. (For example see Fig. 3; col. 3, lines 40-48; col. 7, lines 29-31) via a plurality of input receive modules (“*plurality of communication channels*”; For example see Fig. 3; col. 9, lines 33-44) in the transactional communication system.

### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and

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the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claim 3 is rejected under 35 U.S.C. 103(a) as being unpatentable over **Gilbert et al.** (U.S. 5,530,848) in view of **Ngai et al.** (U.S. 5,850,507), , hereafter referred as **Ngai**.

- In regard to claim 3, **Gilbert** discloses all the subject matter of the claimed invention as discussed in part 3 above of this Office action, about the system and method for implementing the interface ("*XA/RO interface*") between the external process and transaction processing system ("*transactional system*"); wherein the input receive subsystem accepts input messages from external processes such as external computer systems, CICS regions, batch jobs, etc. ("*connecting the set of transaction initiators and consumers*") via a plurality of input receive modules ("*intermediate communication channels*"; For example see Fig. 3), the trigger subsystem interrogates the log file when the input message is available for delivery to the transaction processing system for process ("*enable the transactional system*"); where the control records stored in the log file database are created, updated or deleted ("*perform transactional operations on data stored in logging service*") based on the status or flag for the logging service, e.g. "*logging service*", via other subsystems such as status subsystem, acknowledgement subsystem, monitor subsystem, communications monitor subsystem, and communications subsystem under the control of the transaction processing system. **Gilbert** does disclose about the input receive process initializes the input field message and validates with messages such as ABORT, CONFIRM, ISSUERROR ("*validating the operation in the logging service*"; For example see Fig. 4; col. 16, lines 3-15; col. 17, lines 28-44; col. 27,

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lines 4-19) and tries to recover the non-recoverable error with number of retries (For example see col. 27, lines 20-26); but fails to explicitly teach the “*enable recovery of validated transactional operations*”. However, such implementation is known in the art.

For example, **Ngai** discloses the validated transactional operations are stored as redo entries and instance recovery operation is restored for instance failure, e.g. recovery after a crash from redo log, with ‘rolling back’ the transaction (“*enable recovery of validated transactional operations*”; For example see Figs. 5 and 6; col. 6, lines 25-67; col. 7, lines 1-67; col. 8, lines 1-16) to resolve pending distributed transactions that were undergoing a two-phase commit coordinated by the database at the time of the instance failure.

Thus it would have been obvious to the person of ordinary skill in the art at the time of the invention was made to combine the invention as taught by **Ngai** in the **Gilbert**’s transaction processing system, by implementing the ‘rollback’ command in the **Gilbert**’s messages, with the motivation being to improve the ability to undoing the changes or recovering the instance failure on the database, e.g. “*enable recovery of validated transactional operations*”, as disclosed in col. 2; lines 50-60.

### ***Conclusion***

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

**Pardon et al.** (U.S.6,671,686), **Freund et al.** (U.S.5,768,587), **Schrab et al.** (U.S.6,272,675), **Kobayashi et al.** (U.S.6,374,243) and **Smith et al.** (U.S.5,680,610) are all cited to show devices and methods for improving the management database for

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transaction processing system in the communication architectures, which are considered pertinent to the claimed invention.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tri H. Phan, whose telephone number is (703) 305-7444.

The examiner can normally be reached on M-F (8:00-4:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Douglas W. Olms can be reached on (703) 305-4703.

**Any response to this action should be mailed to:**

**Commissioner of Patents and Trademarks**

Washington, D.C. 20231

**or faxed to:**

**(703) 872-9314**

Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive, Arlington, VA, Sixth Floor.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Technology Center 2600 Customer Service Office, whose telephone number is (703) 305-3900.



Tri H. Phan  
August 6, 2004



DANG TON  
PRIMARY EXAMINER